



## THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: John Jackson, Xichen Zhang, and Helen Burt  
Attorney's Docket No.: 110129.416  
Application No.: 09/181,582  
Filed: October 28, 1998  
For: POLYMERIC SYSTEMS FOR DRUG DELIVERY AND  
USES THEREOF

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 C.F.R. §§ 1.9(f) AND 1.27(d) -- NONPROFIT ORGANIZATION)

I declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: University of British Columbia  
Address of Organization: IRC 331 - 2194 Health Sciences Mall  
Vancouver, British Columbia, Canada V6T 1Z3

## TYPE OF ORGANIZATION:

- ☒ university or other institution of higher education
- ☐ tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3))
- ☐ nonprofit scientific or educational under statute of a state of the United States of America  
(Name of state: \_\_\_\_\_)  
(Citation of statute: \_\_\_\_\_)
- ☐ would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3)) if located in the United States of America
- ☐ would qualify as nonprofit scientific or educational under statute of a state of the United States of America if located in the United States of America  
(Name of state: \_\_\_\_\_)  
(Citation of statute: \_\_\_\_\_)

I declare that the above-identified nonprofit organization qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) for purposes of paying reduced fees under 35 U.S.C. §§ 41(a) and 41(b) with regard to the invention entitled:

**POLYMERIC SYSTEMS FOR DRUG DELIVERY AND USES THEREOF**

by inventors: John Jackson, Xichen Zhang, and Helen Burt

as described in:

☐ the specification filed herewith.

☒ Application No. 09/181,582, filed October 28, 1998.

☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_.

I declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 C.F.R. § 1.9(c) or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).\*

\*NOTE: Separate verified statements are required from each named person, concern and organization having rights to the invention averring to his/its status as a small entity. (37 C.F.R. § 1.27)

FULL NAME Angiotech Pharmaceuticals, Inc.

ADDRESS 6660 N.W. Marine Drive

Vancouver, British Columbia, Canada V6T 1Z4

☐ individual

☒ small business concern

☐ nonprofit organization

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ individual

☐ small business concern

☐ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earlier of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that the making of willfully false statements and the like is punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

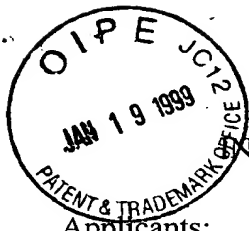
NAME OF PERSON SIGNING Richard D. Spratley

TITLE IN ORGANIZATION Director, Research Services

ADDRESS OF PERSON SIGNING IRC ROOM 331-2194 HEALTH SCIENCES MALL  
2194 H VANCOUVER, B.C. V6T 1Z3

SIGNATURE  DATE DEC 01 1998

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Attorney's Docket No: 110129.416  
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Filed: October 28, 1998  
For: POLYMERIC SYSTEMS FOR DRUG DELIVERY AND  
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**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**(37 C.F.R. §§ 1.9(f) AND 1.27(c)) -- SMALL BUSINESS CONCERN**

I declare that I am:

- ☐ the owner of the small business concern identified below.  
☒ an official of the small concern empowered to act on behalf  
of the concern identified below.

NAME OF CONCERN: Angiotech Pharmaceuticals, Inc.  
ADDRESS OF CONCERN: 6660 N.W. Marine Drive  
Vancouver, British Columbia, CANADA V6T 1Z4

I declare that the above-identified small business concern qualifies as a small business concern as defined in 13 C.F.R. §§ 121.3-18 and reproduced in 37 C.F.R. § 1.9(d) for purposes of paying reduced fees under 35 U.S.C. §§ 41(a) and 41(b) in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I declare that rights under contract or law have been conveyed to and remain with the small business concern with regard to the invention entitled:

**POLYMERIC SYSTEMS FOR DRUG DELIVERY AND USES THEREOF**

by inventors: John Jackson, Xichen Zhang, and Helen Burt  
as described in:

- ☐ the specification filed herewith.  
☒ Application No. 09/181,582, filed October 28, 1998.  
☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_.

If the rights held by the small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 C.F.R. § 1.9(c) or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).\*

\*NOTE: Separate verified statements are required from each named person, concern and organization having rights to the invention averring to his/its status as a small entity. (37 C.F.R. § 1.27)

FULL NAME University of British Columbia  
 ADDRESS IRC 331 - 2194 Health Sciences Mall  
Vancouver, British Columbia, CANADA V6T 1Z3

- ☐ individual  
☐ small business concern  
☒ nonprofit organization

FULL NAME \_\_\_\_\_  
 ADDRESS \_\_\_\_\_

- ☐ individual  
☐ small business concern  
☐ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earlier of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that the making of willfully false statements and the like is punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Kennith A. Mellquist  
 TITLE OF PERSON OTHER THAN OWNER: Vice President, Corporate Affairs  
 ADDRESS OF PERSON SIGNING: 6660 Northwest Marine Drive  
Vancouver, British Columbia, Canada V6T 1Z4

SIGNATURE: 

DATE: November 25, 1998